

Data Entry Procedures

Chapter 1. Data Entry Overview

The Budget Execution Procedures perform the following functions:

- u Identify transactions and inquiry tables associated with the Budget Execution subsystem
- u Identify transactions and inquiry tables associated with tracking authority, commitments, obligations, and expenditures related to appropriated funds
- u Provide procedures to enter and process budget transactions

A. Data Entry Documents and Budget Levels

Funds are distributed in HUDCAPS by processing budget documents. Some levels require both an entry transaction and approval transaction prior to further distributing the funds. The following table lists the necessary transactions for each budget level.

HUDCAPS Budget Level	HUDCAPS Budget Term	Entry Document(s)	Approval Document
1	Appropriation	Appropriation/ Apportionment(AA), and Appropriation Transfer (TA)	Appropriation Transfer Approval (TC)
2	Apportionment	Appropriation/ Apportionment (AA)	Apportionment Approval (PA)
3	Advice of Allotment	PAS Advice of Allotment (B4) or Budget Execution (BE)	- None -
4	Distribution to Program/Object Class	PAS Distribution to Pgm/Obj CIs (B5) or Budget Execution (BE)	- None -
5	Distribution to Program	PAS Distribution to Program (B6) or Budget Execution (BE)	- None -
6	Assignment/Operating Budget (level 1)	Assignment/Operating Budget (SA)	- None -
7	Assignment/ Operating Budget (level 2)	Assignment/Operating Budget (SA)	- None -

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HUDCAPS Budget Level	HUDCAPS Budget Term	Entry Document(s)	Approval Document
8	Assignment/Operating Budget (level 3)	Assignment/Operating Budget (SA)	- None -

Use the Budget Execution Document (BE) for entry of the administrative funds.

B. Verify Fund Availability

Prior to processing a HUDCAPS budget document, fund availability should be verified by scanning the budget inquiry table which corresponds to the preceding budget level.

HUDCAPS Budget Level	HUDCAPS Budget Term	HUDCAPS Table
1	Appropriation	APPR
2	Apportionment	APOR
3	Advice of Allotment	ALOC
4	Distribution to Program/Object Class	SALC
5	Distribution to Program	ALLT
6	Assignment/Operating Budget (Level 1)	SASP
7	Assignment/Operating Budget (Level 2)	SASP
8	Assignment/Operating Budget (Level 3)	SASP

Note Users can not verify fund availability at the Appropriation level, as it is the first level of distribution.

Chapter 2. Appropriation/Apportionment for No-Year and Multi-Year Funds

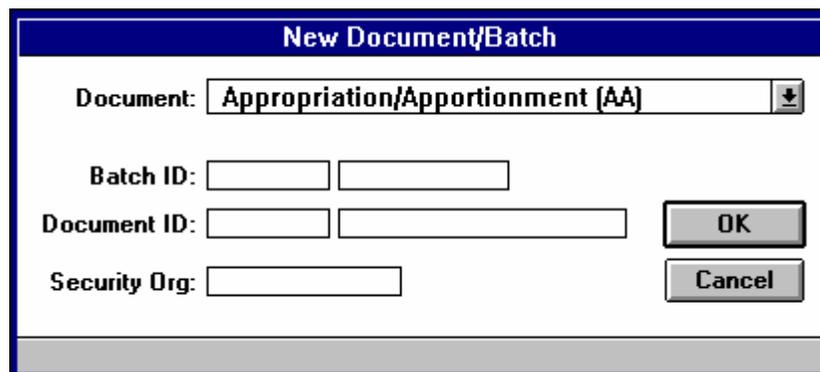
A. Appropriation/Apportionment (AA) Document for Appropriation of No-Year and Multi-Year Funds

1. Record Appropriation Amount to Master Fund Code With an AA Document

a. Perform the following steps to process an Appropriation/ Apportionment (AA) document to record appropriation amount:

- (1) Select **File** from the Main menu.
- (2) Select **New** from the File menu.
- (3) From the Document drop-down list box, select **Appropriation/Apportionment (AA)**.
- (4) Enter the **Document ID**.

Note All AA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNG, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). By entering the # sign, the system will assign the next available sequentail number for the document ID prefix entered.



The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- Buttons:** "OK" and "Cancel" buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

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- b. Enter the following fields on the **Appropriation** tab:

Field	Description
(1) Budget Fiscal Year(s)	For a no-year fund enter the last two digits of the Budget Fiscal Year. For a multi-year fund enter the last two digits of the Beginning Budget Fiscal Year and the Ending Budget Fiscal Year.
(2) Fund	Enter the appropriate master fund code for the no-year fund, or click on the search icon for a listing of valid fund codes.
(3) Budget Line Action	Select Add/Activate if this is the first AA document for the BFY/fund code, or select Change if previous AA documents have been processed for the BFY/fund code.
(4) Appropriation Trans Type	Enter 01 for an apportioned no-year fund. Enter 03 for an inactive, unanticipated, unapportioned no-year fund. Enter 04 for an unapportioned no-year fund. Enter MY for an apportioned multi-year fund.
(5) Appropriation - Inc/Dec Amount	Enter the appropriation amount from the SF-132.

- (6) Select **Document** from the Main menu.
- (7) Select **Edit** from the Document menu.
- (8) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

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Note If an error message occurs, use the Online Error Guide by double clicking on the error message. If unable to resolve the error with the Online Error Guide, call the HUDCAPS Help desk.

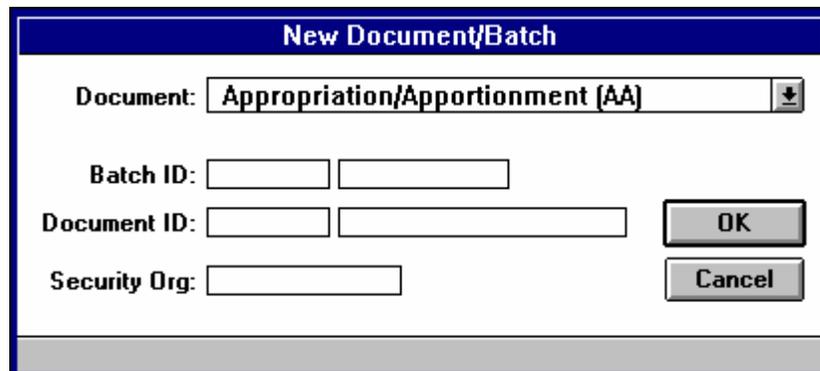
- (9) Select **Document** from the Main menu.
- (10) Select **Process** from the Document menu.
- (11) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for examples of populated documents for a **No-Year** fund and a **Multi-Year** fund. See Example A-1.A.

2. Create Component Fund Record with an AA Document

- a. Perform the following steps to process an Appropriation/ Apportionment (AA) document to establish each of the Component funds:
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation/ Apportionment (AA)**.
 - (4) Enter the **Document ID**.

Note All AA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNG, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**).



The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/ Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- OK** and **Cancel** buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

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b. Enter the following fields on the **Appropriation** tab:

The screenshot shows a software interface with a title bar containing 'Batch: Document: AA CFO 0HA00000002 Status: NEW'. Below the title bar are two tabs: 'Appropriation' (selected) and 'Apportionment'. The main area contains several input fields and two groups of radio buttons. The first group, 'Budget Line Action', has 'Add/Activate' selected. The second group, 'Appropriation Change', has 'Adjustment' selected. At the bottom, the 'Reimbursement Option' is set to 'Include lesser of actual and estimated'.

Field	Description
(1) Budget Fiscal Year(s)	For a no-year fund enter the last two digits of the Budget Fiscal Year. For a multi-year fund enter the last two digits of the Beginning Budget Fiscal Year and the Ending Budget Fiscal Year.
(2) Fund	Enter the component fund code, or click on the search icon for a listing of valid fund codes.
(3) Budget Line Action	Choose Add/Activate to add a new budget line.
(4) Appropriation Trans Type	Enter 01 for an apportioned no-year fund. Enter 03 for an inactive, unanticipated, unapportioned no-year fund. Enter 04 for an unapportioned no-year fund. Enter MY for an apportioned multi-year fund.
(5) Inc/Dec Amount	Enter zero or leave blank (the system will interpret the Inc/Dec Amount as zero when this field is left blank).

Note No data needs to be entered on the Apportionment tab.

- (6) Select **Document** from the Main menu.
- (7) Select **Edit** from the Document menu.

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- (8) View the message area at the bottom of the window for warning or error messages and make the necessary changes.
-

Note If an error message occurs, use the Online Error Guide by double clicking on the error message. If unable to resolve the error with the Online Error Guide, call the HUDCAPS Help desk.

- (9) Select **Document** from the Main menu.
- (10) Select **Process** from the Document menu.
- (11) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for examples of populated documents for a **No-Year** fund and a **Multi-Year** fund. See Example A-1.A.

B. Appropriation Transfer (TA) Document for Transfer from a Master Fund to a Component Fund

1. Transfer Funds from Master Fund to Component Fund(s) with a TA Document

a. Perform the following steps to process an Appropriation Transfer (TA) document to transfer funds from the Master fund to the Component fund(s) for no-year funds:

- (1) Select **File** from the Main menu.
- (2) Select **New** from the File menu.
- (3) From the Document drop-down list box, select **Appropriation Transfer (TA)**.
- (4) Enter the **Document ID**.

Note All TA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**).

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation Transfer (TA)" selected.
- Batch ID:** Two adjacent empty text input boxes.
- Document ID:** Two adjacent empty text input boxes.
- Security Org:** One empty text input box.
- Buttons:** "OK" and "Cancel" buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

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b. Enter the following fields on the **Main** tab:

The screenshot shows a software window with the following elements:

- Title Bar:** Batch: Document: TA CFO OHA00000001 Status: NEW
- Tabs:** Main (selected), Details
- Transaction Date:** Three empty boxes for MM/DD/YYYY.
- Federal Fiscal Mo/Yr:** Two empty boxes for MM/YY.
- OMB Approval Date:** Three empty boxes for MM/DD/YYYY.
- Document Type:** Radio buttons for Budget Authority (selected), Unobligated Balance, and Reappropriation.
- Transfer:**
 - Total: [Empty text box]
 - Authorizing Document: [Empty text box]
 - FTE Total: [Empty text box]
- Default Line Action:** Radio buttons for New (selected) and Modify.

Field	Description
Default Line Action	Select New .
Document Type	Select Budget Authority .
Transfer Total	Enter the amount to be transferred.
Transfer Authorizing Document	Enter SF-132, appropriation symbol and approved date.

Refer to Appendix A for example of populated document. See Example A-1.B.

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c. Enter the following fields on the **Details** tab:

Field	Description
Line Number	Enter the appropriate three digit line number (001 for the first line, 002 for the second line, etc.).
Transfer Amount	Enter the dollar amount to transfer.
Inc	Select the radio button to increase funds.
From Trans Type	Enter the transaction type MC for current year funds.
From Srce Year(s)	Enter the last two digits of the Budget Fiscal Year.
From Fund	Enter the fund code of the Master fund from which the amount is being transferred.
To Trans Type	Enter the transaction type MC for current year funds.
To Srce Year(s)	Enter the last two digits of the Budget Fiscal Year.
To Fund	Enter the fund code of the Component fund to which the amount is being transferred.

- (10) Select **Document** from the Main menu.
- (11) Select **Edit** from the Document menu.
- (12) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

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Note If an error message occurs, use the Online Error Guide by clicking on the error message. If unable to resolve the error with the Online Error Guide, call the HUDCAPS Help desk.

- (13) Select **Document** from the Main menu.
- (14) Select **Process** from the Document menu.
- (15) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-1.B.

C. Appropriation Transfer Approval (TC) Document

1. Approve Transfer with TC Document

a. Perform the following steps to process the Appropriation Transfer Approval (TC) Document:

- (1) Select **File** from the Main menu.
- (2) Select **New** from the File menu.
- (3) From the Document drop-down list box, select **Appropriation Transfer Approval (TC)**.
- (4) Enter the **Document ID**.

Note All TC document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNG, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO OHA#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following elements:

- A "Document:" label followed by a dropdown menu showing "Appropriation Transfer Approval (TC)".
- A "Batch ID:" label followed by two empty input boxes.
- A "Document ID:" label followed by two empty input boxes.
- A "Security Org:" label followed by one empty input box.
- "OK" and "Cancel" buttons on the right side.

- (5) Select **OK** or press the **Enter** key.

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- b. Enter the following fields on an **Appropriation Transfer Approval (TC)** document:

Field	Description
Transfer Document	Enter the document ID of the Appropriation Transfer (TA) being approved. Enter TA in the first box and the Document ID in the second box.
Transfer Total	Enter the total dollar amount to approve (as entered on the Main tab of the TA).
Treasury Voucher Number	Enter SF-132 .
Action	Select Approve Anticipated Amounts or Reject and Clear Anticipated Amounts .

- (5) Select **Document** from the Main menu.
- (6) Select **Edit** from the Document menu.
- (7) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Note If an error message occurs, use the Online Error Guide by double clicking on the error message. If unable to resolve the error with the Online Error Guide, call the HUDCAPS Help desk.

- (8) Select **Document** from the Main menu.
- (9) Select **Process** from the Document menu.
- (10) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-1.C.

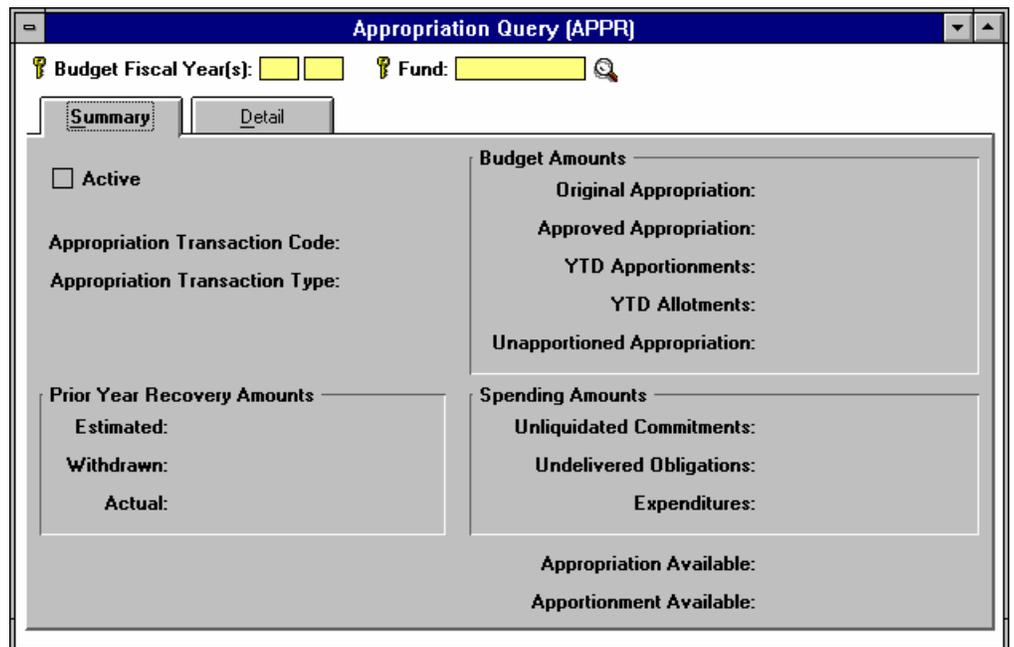
D. Appropriation/Apportionment (AA) Document for Apportionment of No-Year and Multi-Year Funds

Funds transferred from a master fund code to a component fund code must be apportioned by the component fund code. Funds are not apportioned by the master fund code. Apportionment of component fund codes cannot take place until funds have been transferred to the component fund code by an Appropriation Transfer (TA) Document, and have been approved of by an Appropriation Transfer Approval (TC) Document. Subsequently, an Appropriation/ Apportionment (AA) Document is required to apportion funds transferred to component fund codes of no-year appropriations.

1. Verify Funds with APPR

a. The Appropriation Query (APPR) is displayed as follows:

- (1) Select **Options** from the Main menu.
- (2) Select **Tables and Queries** from the Options menu.
- (3) Click on the **Category** drop-down list and select **Budget Execution**.
- (4) Select the Appropriation Query (APPR).
- (5) Choose the **OK** button.



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- (6) Enter the last two digits of the Budget Fiscal Year in the **Budget Fiscal Year(s)** field, and enter the fund code in the **Fund** field.
- (7) Select **Actions** from the Main menu.
- (8) Select **Display** from the Actions menu.
- (9) Verify funds available in the **Unapportioned Appropriation** field.

Refer to Appendix A for example of populated document. See Example A-8.A.

2. Apportion Funds with an AA Document

- a. Perform the following steps to process an Appropriation/ Apportionment (AA) document:
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation/ Apportionment (AA)**.
 - (4) Enter the **Document ID**.

Note All AA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNG, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO OHA#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/ Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- Buttons:** "OK" and "Cancel" buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

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b. Enter the following fields on the **Appropriation** tab:

Field	Description
Budget Fiscal Year(s)	Enter the last two digits of the Budget Fiscal Year.
Fund	Enter the Component fund code.
Budget Line Action	Defaults to Add/Activate . Select Change .

Note Do **NOT** enter any additional data on the Appropriation tab.

Refer to Appendix A for example of populated documents for a **No-Year** fund and a **Multi-Year** fund. See Example A-1.D.

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- c. Select the **Apportionment** tab and enter the following fields:

The screenshot shows a software window with the following elements:

- Title Bar:** Batch: Document: AA CFO 0HA00000003 Status: NEW
- Navigation:** Two tabs are visible: 'Appropriation' and 'Apportionment' (which is selected).
- Summary Fields:**
 - Total Apportionment:
 - Total FTE Apportionment:
- Apportionment Transaction Types:**
 - Period 1-4:
 - Deferred:
- Apportionment Distribution Table:**

Quarter	Pending	Inc/Dec
1	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>
Deferred	<input type="text"/>	<input type="text"/>
- FTE Apportionment Distribution Table:**

Quarter	Pending	Inc/Dec
1	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>

Field	Description
Apportionment Transaction Types Period 1-4	Enter PA (Pending Apportionment).
Apportionment Distribution Inc/Dec	Enter the dollar amount of the transaction. The amount must include a decimal and cents (enter two zeros if it is an even dollar amount). Apportion all program funds in quarter 1, and distribute administrative funds by the applicable quarters.

- (3) Select **Document** from the Main menu.
- (4) Select **Edit** from the Document menu.
- (5) View the message area at the bottom of the window for warning or error messages and make the necessary changes.
- (6) Select **Document** from the Main menu.
- (7) Select **Process** from the Document menu.
- (8) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

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Refer to Appendix A for example of populated document. See Example A-1.D.

E. Apportionment Approval (PA) Document for No-Year and Multi-Year Funds

1. Approve Pending Apportionment with PA Document

a. Perform the following steps to process the Apportionment Approval (PA) document to approve and post pending apportionment amounts:

- (1) Select **File** from the Main menu.
- (2) Select **New** from the File menu.
- (3) From the Document drop-down list box, select **Apportionment Approval (PA)**.
- (4) Enter the **Document ID**.

Note All PA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNG, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Apportionment Approval (PA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- OK** and **Cancel** buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

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- b. Enter the following fields on the **Apportionment Approval (PA)** document:

The screenshot shows a software window titled "Batch: Document: PA CFO OHA00000001 Status: NEW". The window contains several input fields and sections:

- Transaction Date:** Three boxes for month, day, and year.
- Federal Fiscal Mo/Yr:** Two boxes for month and year.
- Budget Fiscal Year(s):** Two boxes for the fiscal year.
- Fund:** A text box with a search icon.
- Total Amount:** A text box.
- Budget Approval:** Two radio buttons: "Approve Pending Amounts" (selected) and "Reject and Clear Pending Amounts".
- Approval Transaction Type:** A text box.
- Deferred Approval Transaction Type:** A text box.
- Funds Availability Posting:** A checkbox for "Post YTD Budget Authority".
- Posting Transaction Type:** A text box.
- Deferred Posting Transaction Type:** A text box.
- Apportionment Period:** A text box.

Field	Description
Budget Fiscal Year(s)	Enter the last two digits of the Budget Fiscal Year.
Fund	Enter the fund code, or click on the search icon for a listing of valid fund codes.
Budget Approval	Defaults to Approve Pending Amounts . Must select Reject and Clear Pending Amounts to reject and clear pending amounts.
Approval Transaction Type	Enter AP .
Post YTD Budget Authority	Select the box (ensure that there is an x in the box).
Posting Transaction Type	Enter 01 .
Apportionment Period	Enter the appropriate period through which you are posting authority. Valid values are 1, 2, 3, 4 .

- (8) Select **Document** from the Main menu.
- (9) Select **Edit** from the Document menu.
- (10) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Note If an error message occurs, use the Online Error Guide by double clicking on the error message. If unable to resolve the error with the Online Error Guide, call the HUDCAPS Help desk.

- (11) Select **Document** from the Main menu.
- (12) Select **Process** from the Document menu.
- (13) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated documents for a **No-Year** fund and a **Multi-Year** fund. See Example A-1.E.

2. Verify Approval with Apportionment Query (APOR)

The Apportionment Query (APOR) is used to review information about the status of an apportionment including the year-to-date apportioned, committed, obligated, and expended amounts.

- a. The Apportionment Query (APOR) is displayed as follows:
 - (1) Select **Options** from the Main menu.
 - (2) Select **Tables and Queries** from the Options menu.
 - (3) Click on the **Category** drop-down list and select **Budget Execution**.
 - (4) Select the Apportionment Query (APOR).
 - (5) Choose the **OK** button.

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Apportionment Query (APOR)

Budget Fiscal Year(s): Fund:

Summary | Distribution | Spending

Active

Transaction Types

	Periods 1-4	Deferred
Pending:		
Approved:		
Posted:		

Budget Amounts

Available for Apportionment:

YTD Apportionments:

Recoveries Withdrawn:

Spending Amounts

Unliquidated Commitments:

Undelivered Obligations:

Expenditures:

Available:

- (6) Enter the last two digits of the Budget Fiscal Year(s) in the **Budget Fiscal Year(s)** field (for a multi-year fund, enter the last two digits of the beginning year and the last two digits of the ending year), and enter the fund code in the **Fund** field.
- (7) Select **Actions** from the Main menu.
- (8) Select **Display** from the Actions menu.

Refer to Appendix A for example of populated document. See Example A-9.A.

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- (9) Click on the **Distribution** tab to view fund availability in the **Quarterly Apportionments Approved** field(s).

Apportionment Query (APOR)

Budget Fiscal Year(s): Fund:

Summary **Distribution** Spending

Quarterly Apportionments

Quarter	Original	Pending	Approved
1			
2			
3			
4			
D			

Quarterly Distributions

Quarter
1
2
3
4

Refer to Appendix A for example of populated document. See Example A-9.B.

Chapter 3. Appropriation/Apportionment Annual Funds

A. Processing an Appropriation/Apportionment (AA) Document for Annual Funds

1. Record Appropriation Amount with an AA Document

a. Perform the following steps to process an Appropriation/ Apportionment (AA) document to record appropriation amount:

- (1) Select **File** from the Main menu.
- (2) Select **New** from the File menu.
- (3) From the Document drop-down list box, select **Appropriation/Apportionment (AA)**.
- (4) Enter the **Document ID**.

Note The AA Document ID referencing an annual fund includes the last digit of the current fiscal year, the last 4 digits of the Treasury symbol and the # sign in the second field (**Example: CFO 00143#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- Buttons:** "OK" and "Cancel" buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

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- b. Enter the following fields on the **Appropriation** tab:

The screenshot shows the 'Appropriation' tab in a software application. At the top, it displays 'Batch: Document: AA CFO 0014300004 Status: NEW'. Below this, there are two tabs: 'Appropriation' (selected) and 'Apportionment'. The main area contains several input fields and two groups of radio buttons. The input fields include: Transaction Date (MM/DD/YYYY), Federal Fiscal Mo/Yr (MM/YY), Budget Fiscal Year(s) (two digits), Fund (with a search icon), Trans Type, Revised Amount, Inc/Dec Amount, Appropriation, Estimated Reimbursement, Estimated Recovery, Unavailable Appropriations, Appropriated FTEs (two fields), Public Law, and Reimbursement Option (a dropdown menu currently set to 'Include lesser of actual and estimated'). The 'Budget Line Action' group has three radio buttons: 'Add/Activate' (selected), 'Change', and 'Deactivate'. The 'Appropriation Change' group has three radio buttons: 'Adjustment' (selected), 'Lapse', and 'Transfer'.

Field	Description
Budget Fiscal Year(s)	Enter the last two digits of the Budget Fiscal Year(s).
Fund	Enter the appropriate fund code for the annual fund, or click on the search icon for a listing or valid fund codes.
Budget Line Action	Select Add/Activate if this is the first AA document for the BFY/fund code, or select Change if previous AA documents have been processed for the BFY/fund code.
Appropriation Trans Type	Enter transaction type 01 .
Appropriation - Inc/Dec Amount	Enter the appropriation amount from the SF-132.

Refer to Appendix A for example of populated document. See Example A-2.A.

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- c. Select the **Apportionment** tab and enter the following fields:

Field	Description
Apportionment Transaction Types Period 1-4	Enter PA (Pending Apportionment).
Apportionment Distribution Inc/Dec	Enter the dollar amount of the transaction. The amount must include a decimal and cents (enter two zeros if it is an even dollar amount). Apportion all program funds in quarter 1, and distribute administrative funds by the applicable quarters.

- (3) Select **Document** from the Main menu.
- (4) Select **Edit** from the Document menu.
- (5) View the message area at the bottom of the window for warning or error messages and make the necessary changes.
- (6) Select **Document** from the Main menu.
- (7) Select **Process** from the Document menu.
- (8) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-2.A.

B. Apportionment Approval (PA) Document for Annual Funds

1. Approve Apportionment with PA Document

a. Perform the following steps to process the Apportionment Approval (PA) document to approve and post pending apportionment amounts:

- (1) Select **File** from the Main menu.
- (2) Select **New** from the File menu.
- (3) From the Document drop-down list box, select **Apportionment Approval (PA)**.
- (4) Enter the **Document ID**.

Note The PA Document ID referencing an annual fund includes the last digit of the current fiscal year, the last 4 digits of the Treasury symbol and the # sign in the second field (**Example: CFO 00143#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Apportionment Approval (PA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- OK** and **Cancel** buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

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- b. Enter the following fields on the **Apportionment Approval (PA)** document:

Field	Description
Budget Fiscal Year(s)	Enter the last two digits of the Budget Fiscal Year(s).
Fund	Enter the fund code, or click on the search icon for a listing of valid fund codes.
Budget Approval	Defaults to Approve Pending Amounts . Must select Reject and Clear Pending Amounts to reject and clear pending amounts.
Approval Transaction Type	Enter AP .
Post YTD Budget Authority	Select the box (ensure that there is an x in the box).
Posting Transaction Type	Enter 01 .
Apportionment Period	Enter the appropriate period through which you are posting authority. Valid values are 1, 2, 3, 4 .

- (8) Select **Document** from the Main menu.
- (9) Select **Edit** from the Document menu.
- (10) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Note If an error message occurs, use the Online Error Guide by double clicking on the error message. If unable to resolve the error with the Online Error Guide, call the HUDCAPS Help desk.

- (11) Select **Document** from the Main menu.
- (12) Select **Process** from the Document menu.
- (13) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-2.B.

2. Verify Approval with Apportionment Query (APOR)

The Apportionment Query (APOR) is used to review information about the status of an apportionment including the year-to-date apportioned, committed, obligated, and expended amounts.

- a. The Apportionment Query (APOR) is displayed as follows:
 - (1) Select **Options** from the Main menu.
 - (2) Select **Tables and Queries** from the Options menu.
 - (3) Click on the **Category** drop-down list and select **Budget Execution**.
 - (4) Select the Apportionment Query (APOR).
 - (5) Choose the **OK** button.

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The screenshot shows a software window titled "Apportionment Query (APOR)". At the top, there are two search fields: "Budget Fiscal Year(s):" with two empty boxes and "Fund:" with one empty box and a magnifying glass icon. Below these are three tabs: "Summary", "Distribution", and "Spending". The "Summary" tab is selected. Under the "Summary" tab, there is a checkbox labeled "Active". Below that is a section titled "Transaction Types" with two sub-sections: "Periods 1-4" and "Deferred". Under "Periods 1-4", there are three labels: "Pending:", "Approved:", and "Posted:". To the right of the "Transaction Types" section is a "Budget Amounts" section with labels: "Available for Apportionment:", "YTD Apportionments:", "Recoveries Withdrawn:", and "Spending Amounts". Below "Spending Amounts" are labels: "Unliquidated Commitments:", "Undelivered Obligations:", "Expenditures:", and "Available:".

- (6) Enter the last two digits of the Budget Fiscal Year(s) in the **Budget Fiscal Year(s)** field and enter the fund code in the **Fund** field.
- (7) Select **Actions** from the Main menu.
- (8) Select **Display** from the Actions menu.

Refer to Appendix A for example of populated document. See Example A-9.A.

Budget Execution Data Entry Guide

- (9) Click on the **Distribution** tab to view fund availability in the **Quarterly Apportionments Approved** field(s).

Apportionment Query (APOR)

Budget Fiscal Year(s): Fund:

Quarterly Apportionments

Quarter	Original	Pending	Approved
1			
2			
3			
4			
D			

Quarterly Distributions

Quarter

- 1
- 2
- 3
- 4

Refer to Appendix A for example of populated document. See Example A-9.B.